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ABSTRACT

This publication describes the variety of research and research training grant mechanisms available from the National Institute on Deafness and Other Communication Disorders (NIDCD). The first section briefly describes the following extramural research grant programs: investigator-initiated research project grants; the Small Grant program; First Independent Research Support and Transition Award program; Academic Research Enhancement Award program; Program Project Grants; Clinical Research Center Grants; Research and Training Center Grants; and Cooperative Agreements. The next section describes the following research training and career development awards: National Research Service Awards for Individual Postdoctoral Fellows; National Research Service Awards for Senior Fellows; Institutional National Research Service Awards; Research Career Development Awards; and Clinical Investigator Development Awards. The final section lists additional research and development mechanisms, including: Small Business Innovation Research; Conference Grants; Initiatives for Underrepresented Minorities in Biomedical Research; and additional support and mechanisms for minority investigators. An NIDCD staff directory completes the guide. (DB)

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National Institute on Deafness and Other Communication Disorders

EXTRAMURAL RESEARCH AND RESEARCH TRAINING GRANT MECHANISMS

NOTE: The Extramural Research and Research Training Grant Mechanisms of the National Institute on Deafness and Other Communication Disorders (Publication No. 91-3214) is currently being reprinted and will be available in the Summer 1995. Information included in this interim copy is accurate.

May 1995

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**National Institute on Deafness and
Other Communication Disorders**

**EXTRAMURAL RESEARCH AND
RESEARCH TRAINING GRANT
MECHANISMS**

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PREFACE

The National Institute on Deafness and Other Communication Disorders (NIDCD) is one of the National Institutes of Health (NIH). The NIDCD's research areas include the normal and disordered processes of hearing, balance, smell, taste, voice, speech, and language. The majority of the NIDCD's budget supports a program of research grants, individual and institutional research training awards, career development awards, center grants, and contracts to public and private research institutions and organizations.

The NIDCD recognizes that potential grant applicants vary in their level of training, research experience, and the research environment provided by their institution. A number of funding mechanisms and awards have been developed to address the special needs and characteristics of investigators.

Research training and career development programs are available through the NIDCD for all stages in the professional development of the investigator, from the pre- and post-doctoral levels to the senior investigator level. The NIDCD career development programs encourage beginning investigators and physicians with outstanding potential to pursue careers in biomedical and behavioral research in the communication sciences.

This publication describes the variety of research and research training grant mechanisms currently available for extramural support. Additionally, this publication is a guide that consolidates information of relevance to applicants for specific programs. It is designed as an administrative reference and guide to encourage potential investigators, at various stages of their careers, to seek further information. This publication is not a substitute for application kits or information available from the NIDCD staff and the NIH Office of Grant Inquiries, Division of Research Grants. Application forms and detailed instructions may be obtained by contacting: The Division of Research Grants at (301) 594-7248. For additional help, you may also contact the NIDCD Health Scientist Administrators (HSAs) on the staff resource list provided on page 15.

EXTRAMURAL RESEARCH GRANT MECHANISMS

Research grants make up the largest category of funding and support by the National Institute on Deafness and Other Communication Disorders (NIDCD). These grants may be awarded to universities, medical and other health professional schools, colleges, hospitals, research institutes, for-profit organizations and government institutions that sponsor and conduct biomedical research and development. Research grants may provide funds for salaries, equipment, supplies, travel, and other allowable direct costs of the research as well as for indirect costs to the sponsoring institution or organization.

Applications for individual research grants are submitted to the NIH Division of Research Grants (DRG) where they are assigned to appropriate Institutes (e.g., NIDCD) and to scientific review groups (DRG study sections or Institute review committees) for review of their scientific and technical merit. Applications for Program Project or Research Center grants are reviewed by the Institute to which the application is assigned. Once reviewed for scientific and technical merit, NIDCD applications are referred, with the recommendations of the scientific review group, for review by the National Deafness and Other Communication Disorders Advisory Council. The Advisory Council reviews the significance of applications relative to the program objectives of the Institute and the Initial Review Group's judgments of scientific merit. The Advisory Council then makes funding recommendations to the Institute Director.

According to its scientific content, each application is assigned to a Health Scientist Administrator (HSA) within the NIDCD. The HSA follows applications through the scientific review process and Council review. If the grant is funded, the HSA continues to monitor the progress of the research and administer the grant. If the application is not funded, the HSA is available to work with the applicant in preparing a revised or amended application.

A description of the NIDCD extramural research grant mechanisms follows. The grant mechanisms include:

- Research Project Grants [R01]
- Small Grant [R03]
- FIRST Award [R29]
- AREA Grant [R15]
- Program Project Grants [P01]
- Clinical Research Center Grants [P50]
- Research and Training Center Grants [P60]
- Cooperative Agreements [U01]

RESEARCH PROJECT GRANTS [R01]

Investigator-initiated research grants [R01] make up the largest single category of support provided by the NIDCD and by the NIH. The R01 is considered the traditional grant mechanism. These grants are awarded to organizations on behalf of an individual (principal investigator or PI) to facilitate pursuit of a research objective in the area of the investigator's research interests and competence.

SMALL GRANT PROGRAM [R03]

The Small Grant Program [R03] provides support for pilot research to determine the feasibility of a subsequent research project. For example, the pilot research may involve development of tests of new techniques or a small basic, clinical, or epidemiological research project. The research must be focused on areas within the mission of the NIDCD. The program is designed primarily to support basic and clinical scientists with limited research experience. Current or previous recipients of NIH research awards (R01 or R29) are ineligible for this Small Grant Program. Participation in the program by investigators at minority institutions is encouraged.

Small grant funds may not be used to supplement thesis or dissertation research. Applicants may request up to \$25,000 (direct costs) per year. The grant may not exceed two years and is not renewable. Following completion of the Small Grant support, investigators are encouraged to seek support for research through an Individual Research Project Grant [R01] or a First Independent Research Support and Transition Award [R29].

FIRST INDEPENDENT RESEARCH SUPPORT AND TRANSITION (FIRST) AWARD [R29]

The objective of the First Independent Research Support and Transition (FIRST) award is to provide a sufficient period of research support for newly independent investigators to initiate their own research and demonstrate the merit of their own research ideas. These grants are intended to underwrite the first independent investigative efforts of an individual; to provide a reasonable opportunity to demonstrate creativity, productivity, and further promise; and to help in the transition to traditional types of NIH research project grants.

The investigator must request five years of support and devote at least 50 percent time to the project. To be eligible, the investigator must be independent of a mentor and at the beginning stages of a research career. He or she cannot be in a training status and may not have previously served as principal investigator on a NIH research project grant [R01]. Previous holders of an Academic Research Enhancement Award [R15] or Clinical Investigator Development Award (CIDA) are eligible for the FIRST award. Applicants may request up to \$350,000 (direct costs) for the five years.

ACADEMIC RESEARCH ENHANCEMENT AWARD (AREA) [R15]

The objective of the Academic Research Enhancement Award (AREA) is to stimulate research in educational institutions that provide the baccalaureate training for a significant number of our nation's research scientists, but which historically have not been major participants in NIH programs.

Faculty receives support for feasibility studies and other small scale research project. AREA grants are limited in amount and duration of support. Applications are submitted on a once yearly basis, generally in June. To determine eligibility of one's institution, applicants should contact an NIDCD Health Scientist Administrator or the NIH coordinator of the AREA program at (301) 496-1968. The applicant may request up to \$75,000 (direct costs) for up to three years of support.

PROGRAM PROJECT GRANTS [P01]

Program Project grants are awarded to organizations on behalf of a program director and a team of collaborating investigators for the support of a broadly based, often multidisciplinary, long-term research program with a major objective or theme. A program project involves the organized efforts of a group of investigators who conduct basic research projects related to the overall program objective.

The grant can provide support for the projects and for certain shared resources needed for the total research effort. Each project supported under a program project grant is expected to contribute to the overall program objective. Before preparing an application, potential applicants should contact the appropriate NIDCD HSA for additional information and specific guidelines.

CLINICAL RESEARCH CENTER GRANTS [P50]

Clinical Research Center grants, awarded to institutions on behalf of a program director and a group of collaborating investigators, provide support for long-term, multidisciplinary programs of research and development.

Center grants support programs in critical health problem areas including research and development, as well as demonstration of advanced techniques for the diagnosis, treatment, prevention, or control of disease. The NIDCD HSAs should be consulted before a center grant application is submitted for review.

RESEARCH AND TRAINING CENTER GRANTS [P60]

Research and Training Center grants support a multipurpose unit designed to bring together divergent but related facilities within a given community. The Center's objectives usually include fostering biomedical research and development both at the fundamental and clinical levels; initiating and expanding community education; screening and counseling programs; and educating medical and allied health professionals concerning the problems of diagnosis and treatment of a specific disease.

COOPERATIVE AGREEMENTS [U01]

Cooperative Agreements support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing the investigator's specific interest and competencies.

RESEARCH TRAINING AND CAREER DEVELOPMENT MECHANISMS

Several different awards are available to individuals at various points in their research career who desire further research training. In addition, funds are available to institutions that wish to offer research training opportunities to individuals in communication sciences and disorders. Application forms and detailed instructions specific to the program are available from the NIDCD HSA or from the NIH Office of Grant Inquiries.

The NIDCD Research Training and Development Awards include:

- National Research Service Awards for Individual Postdoctoral Fellows (Fellowships) [F32]
- National Research Service Awards for Senior Fellows [F33]
- Institutional National Research Service Awards (Training Grants) [T32]
- Research Career Development Award (RCDA) [K02]
- Clinical Investigator Development Award (CIDA) [K08]

NATIONAL RESEARCH SERVICE AWARDS FOR INDIVIDUAL POSTDOCTORAL FELLOWS (Fellowships) [F32]

The National Research Service Award (NRSA) fellowships offer health scientists the opportunity to receive full-time postdoctoral research training in basic and clinical areas by providing support for two to three years. These fellowships are not intended for study leading to the M.D., D.O., D.D.S., or equivalent professional degrees, nor do they support residency training.

Eligibility and Requirements

An applicant must have received a doctoral degree and arranged for work with a particular sponsor affiliated with an appropriate institution providing adequate staff and facilities for the proposed training. Applicants must have U.S. citizenship or legal permanent residency or noncitizen national status. The major emphasis of the application must be the research training experience to be received and the scientific competence to be gained. Training can be undertaken abroad if the site provides opportunities that are not available in the United States.

Scope of Support

An annual stipend level is determined by the applicant's years of relevant postdoctoral experience, which may include research experience, industrial work, teaching, internships, or residency.

NATIONAL RESEARCH SERVICE AWARDS FOR SENIOR FELLOWS [F33]

The National Research Service Award (NSRA) Senior Fellowships provide opportunities for experienced scientists to make major changes in the direction of their research careers, to broaden their scientific background, to acquire new research capabilities, or to enlarge their command of an allied research field. The senior fellowships also enable individuals beyond the established investigator stage to take time from regular professional responsibilities to increase their capabilities to engage in health-related research in the communication sciences. These awards are not intended for study leading to the M.D., D.O., D.D.S., or equivalent professional degrees, nor do they support residency or other nonresearch clinical training.

Eligibility and Requirements

To qualify, individuals must have a Ph.D., M.D., D.O., D.D.S or similar doctoral level degree from an accredited domestic or foreign institution and at least seven subsequent years of relevant research or professional experience by the beginning date of the proposed fellowship. The candidate must have U.S. citizenship or legal permanent residency or noncitizen national status. The proposed research study must be full time and include the conduct of research with supervision or other opportunity for guidance appropriate to the applicant's background and objectives. Before submitting an application, the applicant must arrange for acceptance by a sponsor affiliated with an institution that has the staff and facilities needed for the proposed training. Training can be undertaken abroad if the site provided opportunities that are not available in the United States.

Scope of Support

Senior fellowship support may be requested for a period from six months up to two years. Stipends are negotiated at the time of the award, depending upon the salary or remuneration from the home institution. Supplementation is allowed from nonfederal funds.

INSTITUTIONAL NATIONAL RESEARCH SERVICE GRANTS (Training Grants) [T32]

Institutional National Research Service grants (Training grants) are awarded to nonprofit, private or public institutions in the United States to provide support for a research training program in basic and clinical communication sciences. The training program award also provides support for up to five years for predoctoral and postdoctoral research training in specific areas and fields of shortage. The emphasis is to stabilize fundamental training in the basic disciplinary areas at the predoctoral level and to use specialized training at the doctoral level to meet national research priorities. Trainees are required to pursue their research training on a full-time basis. Trainees in clinical areas are expected to confine their clinical duties to those that are part of their research training.

Eligibility and Requirements

Trainees must be citizens or noncitizen nationals of the United States or have been lawfully admitted for permanent residency at the time of appointment. Persons on temporary or student visas are ineligible. Support for predoctoral trainees may be requested, as well as postdoctoral trainee positions.

The applicant institution must have the staff and facilities required for the proposed program. The proposed program must offer trainees opportunities to broaden their scientific backgrounds and include training in scientific methodology. Institutional training grants may not support study leading to professional degrees, nor may they support clinical residency training.

Scope of Support

Institutional grants may be made for competitive segments of up to five years and are renewable. Stipends are available to individuals selected by the training institution. Stipend supplementation is allowed from nonfederal funds. The maximum training period is up to three years for postdoctoral trainees and up to five years for predoctoral trainees.

RESEARCH CAREER DEVELOPMENT AWARD (RCDA) [K02]

The Research Career Development Award (RCDA) provides salary support to enhance the research capability of individuals who have demonstrated outstanding research potential. These five-year awards are for individuals whose research potential is apparent but who seek additional research experience in a productive scientific environment.

Individuals who receive an RCDA are expected to devote full time to their research and research-related activities. The sponsoring institution must guarantee that the applicant will have at least 80 percent of time devoted to research. Most often the award relieves the individual from other duties such as teaching and administrative or other service duties that do not contribute to the candidate's research career development. The award is not intended for the new investigator or for those already established as independent investigators.

Awards are made to individuals at research and academic institutions in the United States and provide all or part of the salary of the candidate based on training, experience, and demonstrated potential for research productivity. The awards are available in any research area of communication sciences and disorders.

Eligibility and Requirements

Candidates must have demonstrated independent research accomplishments, have had or currently have funded research support, and should normally have five years of postdoctoral research experience. Trainees must be citizens or noncitizen nationals of the United States or have been lawfully admitted for permanent residency at the time of appointment. Persons on temporary or student visas are ineligible.

Scope of Support

The award reimburses grantee institutions for full-time salary support plus fringe benefits to an established limit per year. Stipend supplementation is allowed from nonfederal funds. The award is nonrenewable.

CLINICAL INVESTIGATOR DEVELOPMENT AWARD (CIDA) [K08]

The purpose of the NIDCD Clinical Investigator Development Award (CIDA) is to recruit and prepare clinically trained individuals for research and teaching careers in areas of medical science related to communication sciences and disorders. This award provides up to five years of support for special study and supervised experience tailored to individual needs. By supporting individuals with an interest in academic research careers, this award may bridge the gap between the initial period of postdoctoral study and a secure academic appointment, or complete the development of research capabilities of someone who may have had minimal research experience.

Eligibility and Requirements

Individuals with M.D. or Ph.D. degrees are eligible. Candidates must be nominated by a nonprofit U.S. institution and have demonstrated potential for excellence in research and teaching.

Scope of Support

Salary stipend and research allowance are provided. Support is for five years, is nonrenewable, and requires a minimum of 75 percent effort. Supplementation is allowed from nonfederal funds. Awardees are encouraged to discuss funding opportunities beyond CIDA with the appropriate NIDCD HSA.

ADDITIONAL RESEARCH AND DEVELOPMENT MECHANISMS

Other funding opportunities are available within the NIDCD. The mechanisms include:

- Small Business Innovation Research (SBIR) [R43/R44]
- Conference Grants [R13]
- Initiatives for Underrepresented Minorities in Biomedical Research
- Additional Support and Mechanisms for Minority Investigators

SMALL BUSINESS INNOVATION RESEARCH (SBIR) [R43/R44]

Special legislation has set aside funds for a Small Business Innovation Research (SBIR) program designed to (1) stimulate technological innovation; (2) use small businesses to help meet federal research and development needs; (3) increase private sector commercialization of innovations derived from federal research and development; and (4) foster and encourage participation by minority and disadvantaged persons in technological innovation.

Support is provided for the first two of three expected phases of work. In phase I, funds are provided to establish the technical merit and feasibility of the proposed research over a six month period. In phase II, funds are provided for not more than two years to support the development of a product or service that is likely to be commercially marketable. For the third phase, the small business is expected to obtain non-federal funds for the commercialization of the results of the research. For both phases I and II, the research must be performed in its entirety in the United States.

Eligibility and Requirements

Each organization submitting an SBIR grant application must qualify as a small business. To determine whether an applicant organization is a small business, an assessment will be made according to several criteria, including:

- whether or not the organization is independently owned and operated, and
- whether or not the organization is affiliated with a larger organization whose employees exceed 500 when added to those of the application organization.

Additional Information

Areas of research in communication sciences and disorders that are appropriate for small businesses to pursue are listed in the SBIR Omnibus Solicitation. This is published annually and is available by calling (301) 231-5250 or by writing to Technical Resources Incorporated, 3202 Tower Oak Boulevard, Rockville, Maryland 20852.

CONFERENCE GRANTS [R13]

The NIDCD recognizes a responsibility to assist in the support of scientific meetings that are directed toward research objectives clearly within communication sciences and disorders. Funds for research conference support are provided by means of grant awards following competitive review. Since funds allotted for conference support are very limited, potential applicants are encouraged to contact NIDCD HSAs for additional information before preparing an application.

INITIATIVES FOR UNDERREPRESENTED MINORITIES IN BIOMEDICAL RESEARCH

The NIDCD recognizes the need to increase the number of underrepresented minority scientists participating in biomedical research. All principal investigators holding NIDCD research grants may apply for administrative supplements for support of underrepresented minority scientists and students. These programs provide a continuum of support for research experiences from underrepresented minority high school students to faculty members in post-secondary institutions.

By providing supplemental funds to ongoing research grants, these programs aim to attract and encourage minority individuals to pursue biomedical research careers in the communication sciences and in areas within the missions of all the NIH awarding components. Application guidance and information may be obtained from the NIDCD HSAs. Interested grant holders or minority individuals wishing to collaborate in NIDCD-funded research are encouraged to contact NIDCD staff.

- Research Supplements for Minority Investigators provides short- and long-term opportunities for minority investigators to participate in ongoing research projects while further developing their own independent research potential.
- Research Supplements for Minority Graduate Research Assistants provides support for predoctoral minority individuals to develop their research capabilities.
- Research Supplements for Minority Undergraduate Students supports undergraduate minority students to continue on to graduate level training in the biomedical and behavior sciences.
- The Minority Health School Summer Student Research Apprenticeship Program (MHSSRAP) encourages more high school students to consider careers in the biomedical and behavioral sciences.

ADDITIONAL SUPPORT AND MECHANISMS FOR MINORITY INVESTIGATORS

- The Minority Biomedical Research Support (MBRS) Program administered by the NIH Division of Research Resources for faculty members and students.
- The Research Centers in Minority Institutes (RCMI) Program provides grant support to predominantly minority institutions that offer the doctoral degree in the health sciences.
- The Minority Access to Research Careers (MARC) Program provides special training opportunities and incentives in biomedical sciences to attract and retain minority students with research career potential. These include: the MARC Honors Undergraduate Research Training Grant; the MARC Predoctoral Fellowship Award; the MARC Faculty Fellowship Award; the MARC Visiting Scientist Award; and the MARC Supportive Award.
- The Summer Student Employment Program supports high school, undergraduate, and graduate students, as well as college faculty members to conduct research in the communication sciences at the NIDCD.
- The NIH National Research Service Award (NRSA) Program contains a special initiative requiring that new applications or competing renewal applications include a plan to recruit individuals from Underrepresented minority groups.

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